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04-28-01

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Form for new nonprovisional application under 37 C.F.R. § 1.53(b)

Attorney Docket No.	IN-5384
First Named Inventor	William C. NORRIS
Filing Date	Thursday, September 27, 2001
Title	COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-PROVIDING PIGMENT
Express Mail Certificate	EK894923 445US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application, Washington, DC 20231

- ☒ **Fee Transmittal Form (e.g. PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
  - ☐ **Applicant claims small entity status.**  
See 37 CFR 1.27.
  - ☒ **Specification** [Total Pages **28**]  
-(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Application  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Background of the invention  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
  - ☐ **Drawing(s) (35 U.S.C.113)** [Total Sheets ☐
  - ☐ **Oath or Declaration** [Total Sheets   - ☐ Newly executed (original or copy)
  - ☐ **Copy from a prior application (37 CFR § 1.63(d))**  
(for continuation/divisional with Box 17 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting
- ☐ **Application Data Sheet.** See 37 CFR 1.76
- ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
- ☐ **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - ☐ **Computer Readable Form (CRF)**
  - ☐ **Specification Sequence Listing on:**
    - ☐ **CD-ROM or CD-R (2 copies); or**
    - ☐ **paper**
- ☐ **Statements verifying identity of above copies**

**ACCOMPANYING APPLICATION PARTS**

- ☐ **Assignment Papers (cover sheet & document(s))**
- ☐ **37 CFR§3.73(b) Statement** ☐ **Power Of Attorney**  
(when there is an assignee)
- ☐ **English Translation Document (if applicable)**
- ☐ **Information Disclosure Statement (IDS)/ PTO-1449** ☐ **Copies of IDS Citations**
- ☐ **Preliminary Amendment**
- ☒ **Return Receipt Postcard (MPEP 503)**  
(Should be specifically itemized)
- ☐ **Certified Copy of Priority Document(s)**  
(if foreign priority is claimed)
- ☐ **other:** .....

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP) of prior application No. 0** filed on .....

**Prior application information:**

**Examiner**

**Group/Art Unit:**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

☒ **Customer Number or Bar Code Label**

or ☐ **Correspondence address below**



**26922**

**PATENT-TRADEMARK OFFICE**

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772		
Signature	<i>Anne G. Sabourin</i>			Date	September 27, 2001

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997

Attorney Docket No.	IN-5384
First Named Inventor	William C. NORRIS et al.
Filing Date	Thursday, September 27, 2001
Title	COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-PROVIDING PIGMENT
Express Mail Certificate	EK894923#45US

TOTAL AMOUNT OF PAYMENT \$1,160.00

## METHOD OF PAYMENT

## FEE CALCULATION

### 3. ADDITION FEES

Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	Surcharge -late filing fee or oath	
127	50	provisional ailing or cover sheet	
139	130	Non-English specification	
147	2,520	For filing request for examination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	400	Extension for reply within second month	
117	890.	Extension for reply within third month	
118	1,510	Extension for reply within fourth month	
128	2,060	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive-unavoidable	
141	1,320	Petition to revive-unintentional	
142	1,320	Utility issue fee (or reissue)	
143	450	Design issue fee	
144	670	Plant issue fee	
122	130	Petition to the Commissioner	
123	50	Petition related to provisional application	
126	240	Submission of information Disclosure Statement	
581	40	Recording each patent Assignment per property (time number of properties)	
146	790	Filing a submission after final rejection	
149	790	For each additional invention to be examined (37 CFR 1.129(b)) (specify)	
Other	fee	Reduced By Basic Fee Paid Filing	

1. ☒ The Commissioner is hereby authorized to change indicated fees and credit any over payments to:

Deposit Account Number 23-3425

Deposit Account Name BASF Corporation

☒ Change Any Additional Fee ☒ Charge the Issue Fee Set in 37 CFR § 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)		
101	710	Utility filing fee	\$710.00
106	330	Design filing fee	
107	540	Plant filing fee	
108	790	Reissue filing fee	
114	150	Provisional filing fee	
SUBTOTAL (2)			\$710.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
45	-20** = 25	x 18	= \$450.00
Independent Claims	02	-3** = 0	x 80 =
Multiple Dependent		270	=

\*\*Or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	
103	18	Claims in excess of 20
102	80	Independent claims in excess of 3
104	270	Multiple dependent claims, if not paid
109	82	**Reissue independent claims over original patent
110	22	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$450.00

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



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PATENT-TRADEMARK OFFICE

or ☐ Correspondence address below

Country	USA	Telephone	(248) 948-202	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772		
Signature	<i>Anne G. Sabourin</i>			Date	September 27, 2001

PATENT

(Practitioner's Docket No. IN-5384)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

William C. NORRIS  
Josef RADEMACHER

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: September 27, 2001

Examiner: Not Assigned

For: COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A  
POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-  
PROVIDING PIGMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923445US Date of Deposit September 27, 2001

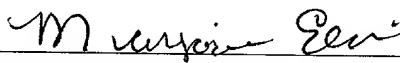
I hereby certify that the following attached paper or fee

X	Information Disclosure Statement
x	From PTO-1449
x	Cited References

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

  
Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5384)

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"Express Mail" label number **EK894923 445 US** Date of Deposit **September 27, 2001**

I hereby certify that the following attached paper or fee

☒ Application  
Specification on 

19
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 pages; claims on 

08
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 pages;  
the abstract on 

01
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 page(s); drawings on 

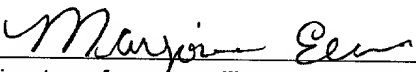
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Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.